

Citywide Slum Upgrading: the Challenges in Project Planning and Programme Design



Claudio Acioly Jr.

IHS - Institute for Housing and Urban Development Studies

Rotterdam, The Netherlands

www.ihs.nl

1.

How do we do it?

Understanding & managing the process

Project versus Program

The Design of the Program

Organisational Aspects & Institutional Management

Who does what?

When?

How?

For whom?

For how much?

Follow-up ?

Who decides what and how?

From where comes the \$?

Who pays & who finances?

PRIMED-Programa Integral de Mejoramiento de Barrios Subnormales en Medellin

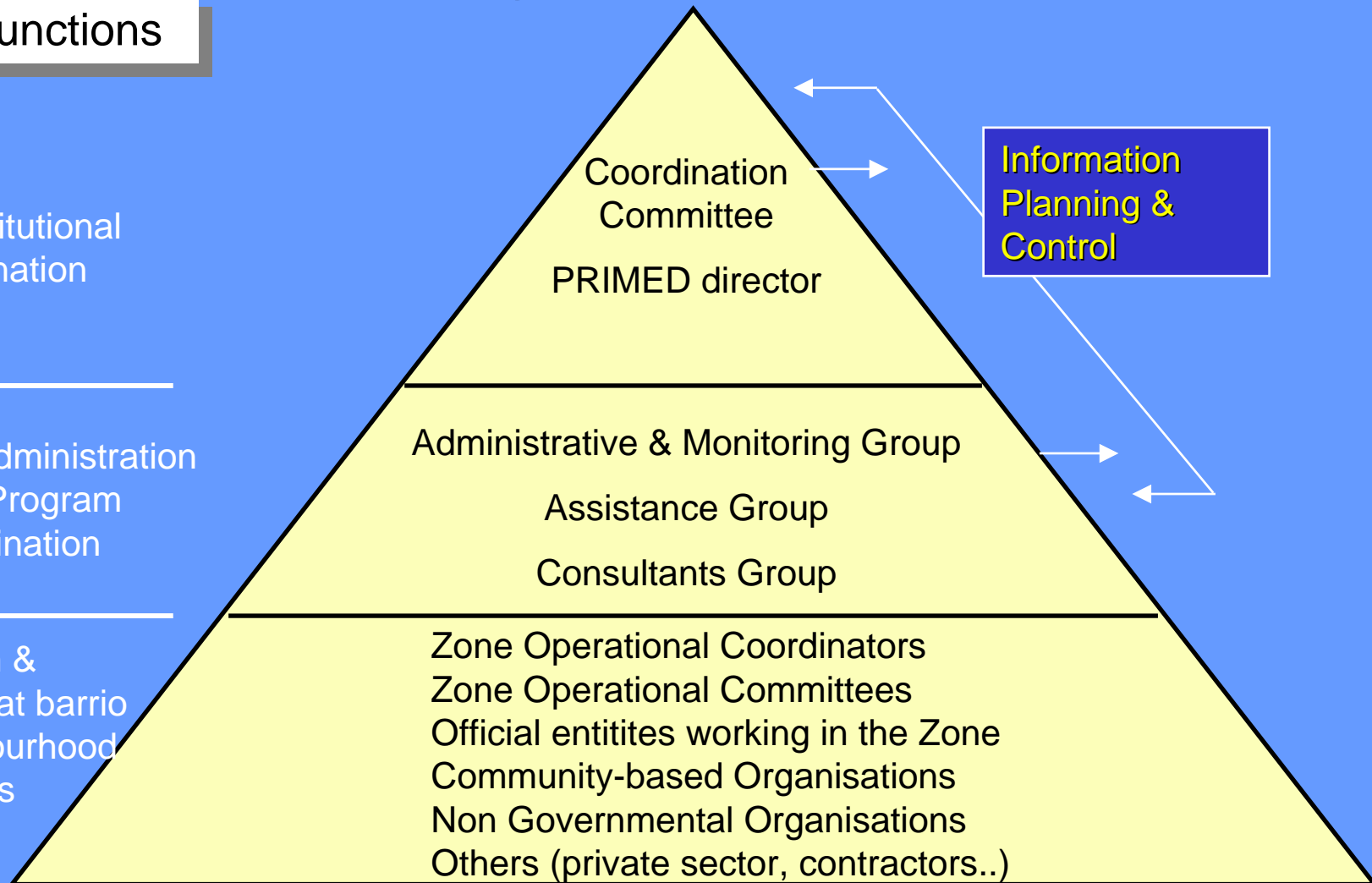
Organisational Scheme

Main Functions

Inter-institutional coordination

Control & Administration
Zonal Program coordination

Liaison & cooperation at barrio level
Neighbourhood projects



Information
Planning &
Control

PRIMED

Organisational Support & Institutional Setting

Municipality of Medellin

Municipal Departments & Secretariats

housing

Public
Works

Com.
Dev

EDUC

Planning

Health

Decentralised Entities



PRIMED

Organisational Support & Institutional Setting

Municipality of Medellin

Municipal
Departments &
Municipal
Secretariats

Decentralised Entities

E.P.M.

Corvide

EE.VV.

INVAL

PRIMED

MANAGEMENT

Auditing

Administrative
Sub
management

Technical
Sub
management

Social
Sub
management

Juridical
Sub
management

PRIMED

Organisational Support & Institutional Setting

Municipality of Medellin

Decentralised Entities

E.P.M.

Public Enterprises of Medellin

Corvide

Municipal Cooperation for Housing and Social Development

EE.VV.

INVAL

PRIMED

Administrative Unit

Legalisation & Promotion Unit

CeWe field office

CeEa field office

NoWe field office

PRIMED

Organisational & Management Structure

Coordinating Committee

Municipality, Cordive, NHA, Federation NGO's, UNDP, Community Representatives, Metropolitan agency

Local
Consultants

Per component
at need

Implementing Agency - CORDIVE

PRIMED Project Manager

T. Assistance
Nationals and
Expatriated

Administrative & Monitoring-Inspection Group

Administrative Unit

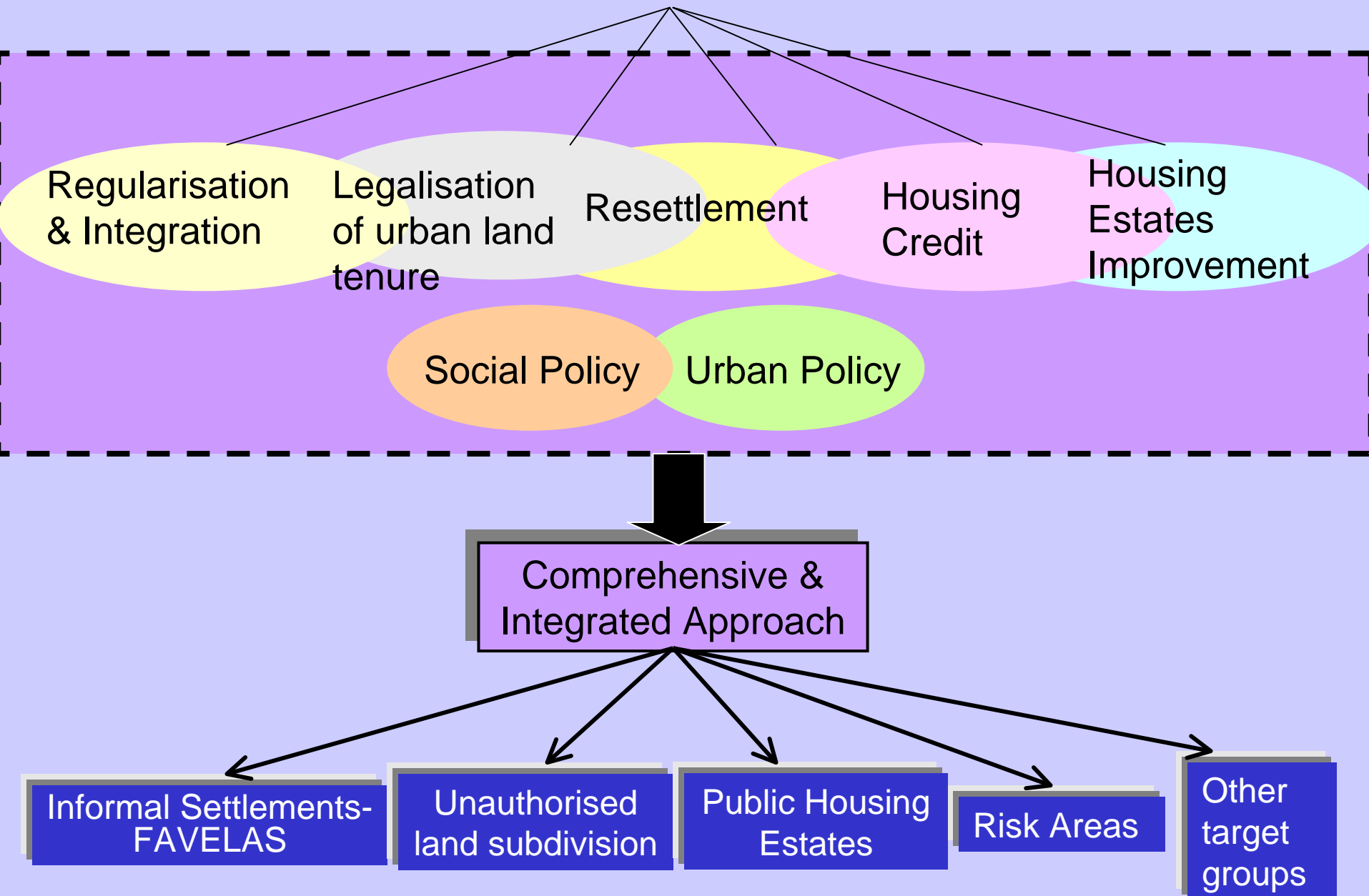
Legalisation and Promotion Unit

CEWE field office

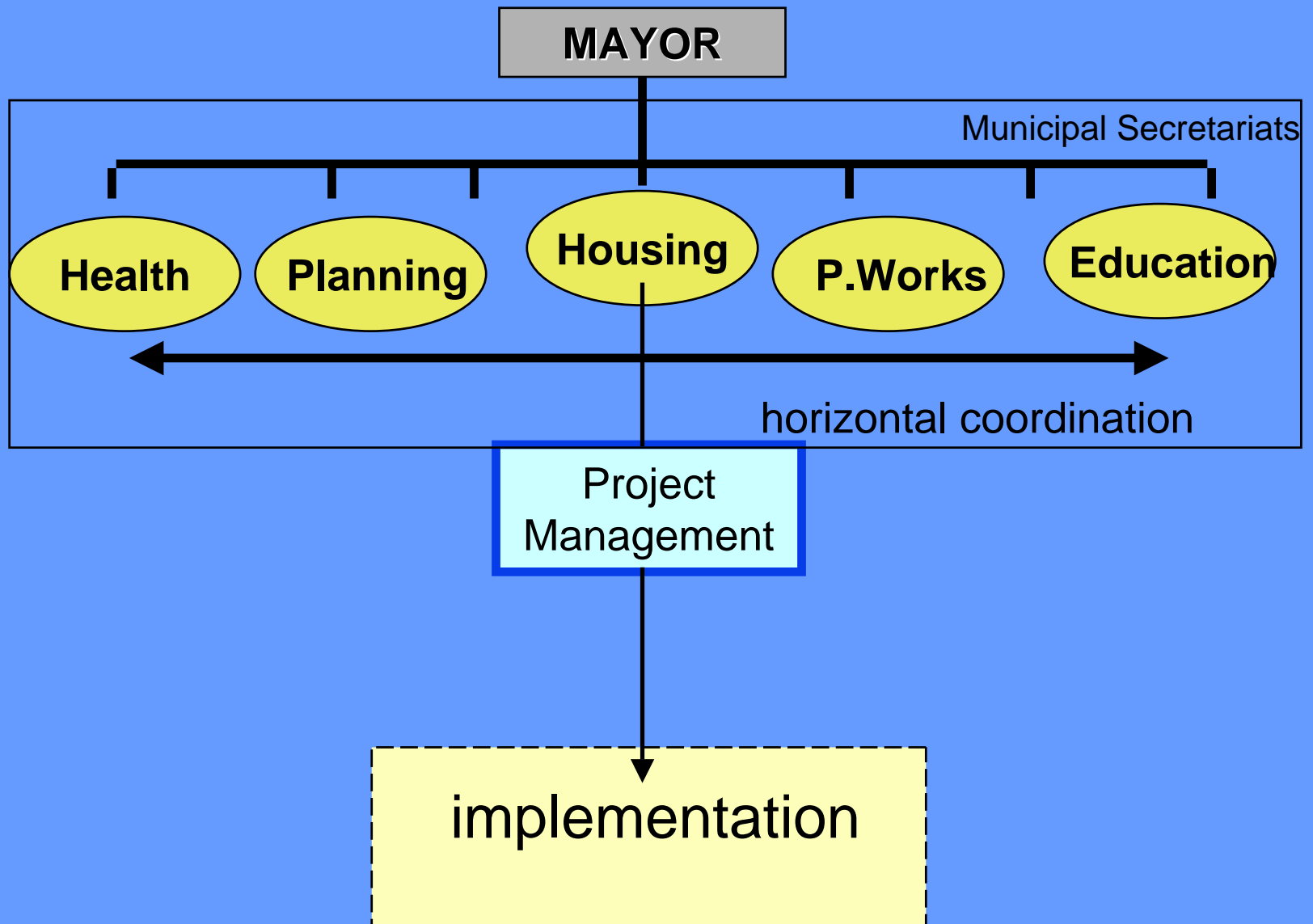
CEEA field office

NOWE field office

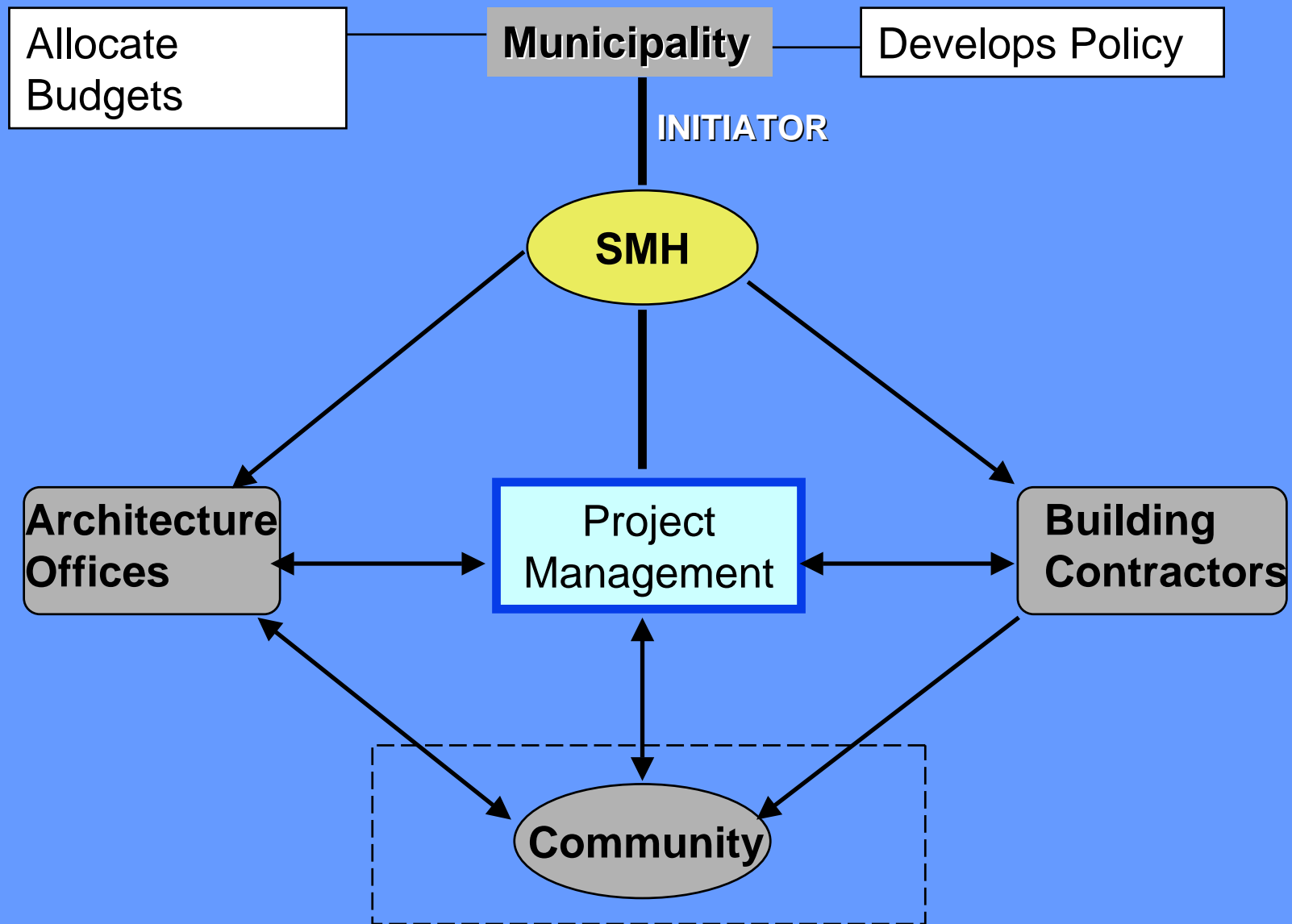
Municipal Housing Policy



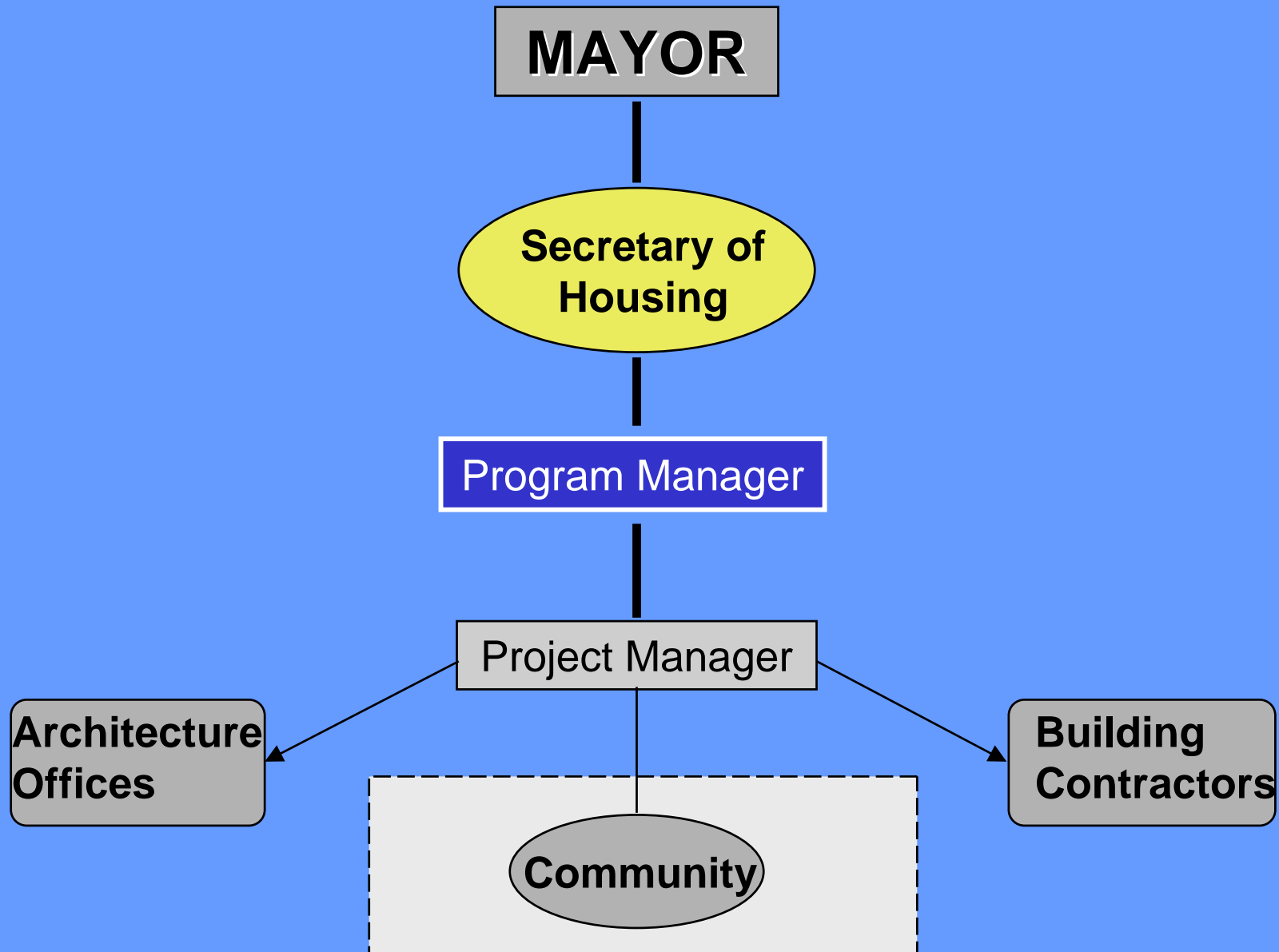
Rio de Janeiro's Upgrading Program - Favela Bairro

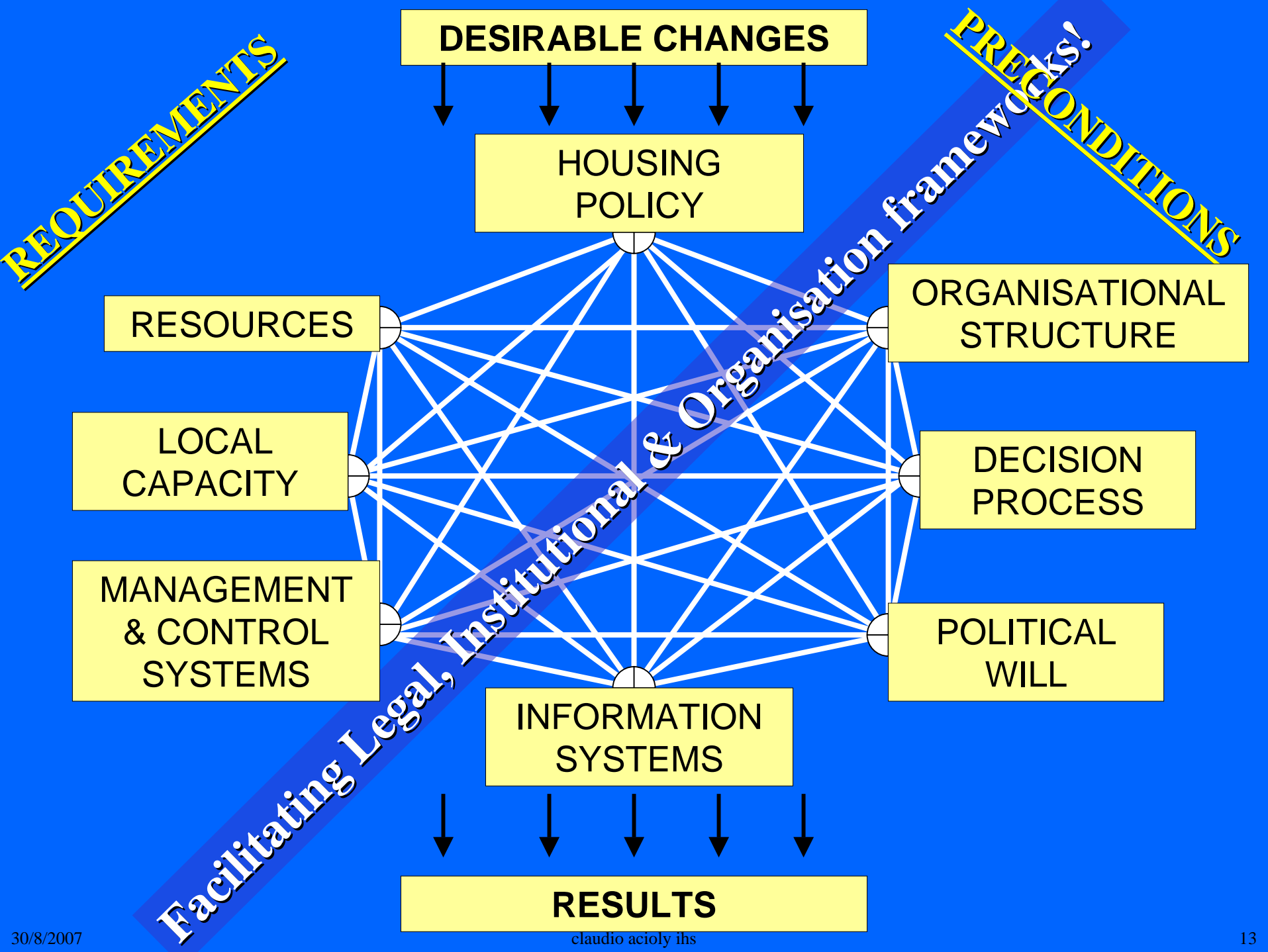


Rio de Janeiro's Upgrading Program - Favela Bairro



Rio de Janeiro's Upgrading Program - Favela Bairro





DESIRABLE CHANGES

HOUSING POLICY

RESOURCES

LOCAL CAPACITY

MANAGEMENT & CONTROL SYSTEMS

INFORMATION SYSTEMS

ORGANISATIONAL STRUCTURE

DECISION PROCESS

POLITICAL WILL

RESULTS

Facilitating Legal, Institutional & Organisation frameworks!

REQUIREMENTS

PRECONDITIONS

Weaknesses at Program Level

1.

**Weak
Organisational
basis**

2.

**Lack of a vision
on urban
management**

3.

**Lack of
institutionalisation of
processes & procedures
– institutional
informality**

4.

**Full integration is
rarely accomplished
partly because of
complexity of the legal
proceedings &
procedures related to
regularising land tenure
rights**

5.

**Lack of vision &
experience with
institutional
management**

6.

**Weak participatory
processes –
technocratic
tradition**

Brief Conclusions:



The Institutional
and Management
Dimensions

2.

The Project

The Design of the Project(s)

The Project Planning & Project Management Aspects

- Who coordinates project actions?
- Who coordinates execution actions?
- Which priority?
- Who defines the key problem and how?
- How to prepare the plan?
- Who participates in the formulation and how?
- Which type of information does exist?
- Which urban design criteria should we use?
- Which norm should be applied?
- Which standard of infrastructure should be applied?

Lack of Basic Infrastructure

Lack of roads & accesses

Lack of Public Services

Risk areas: unstable ground

Environmental protection areas: unfeasible occupation

illegal occupation: insecurity of tenure

Housing Poverty: inadequate living condit.

Poverty: Absence of Income

Lack of public space

Lack of public safety: Violence

Different Forms of Deprivation & Exclusion

INTEGRATION EFFORTS

Urbanisation Project

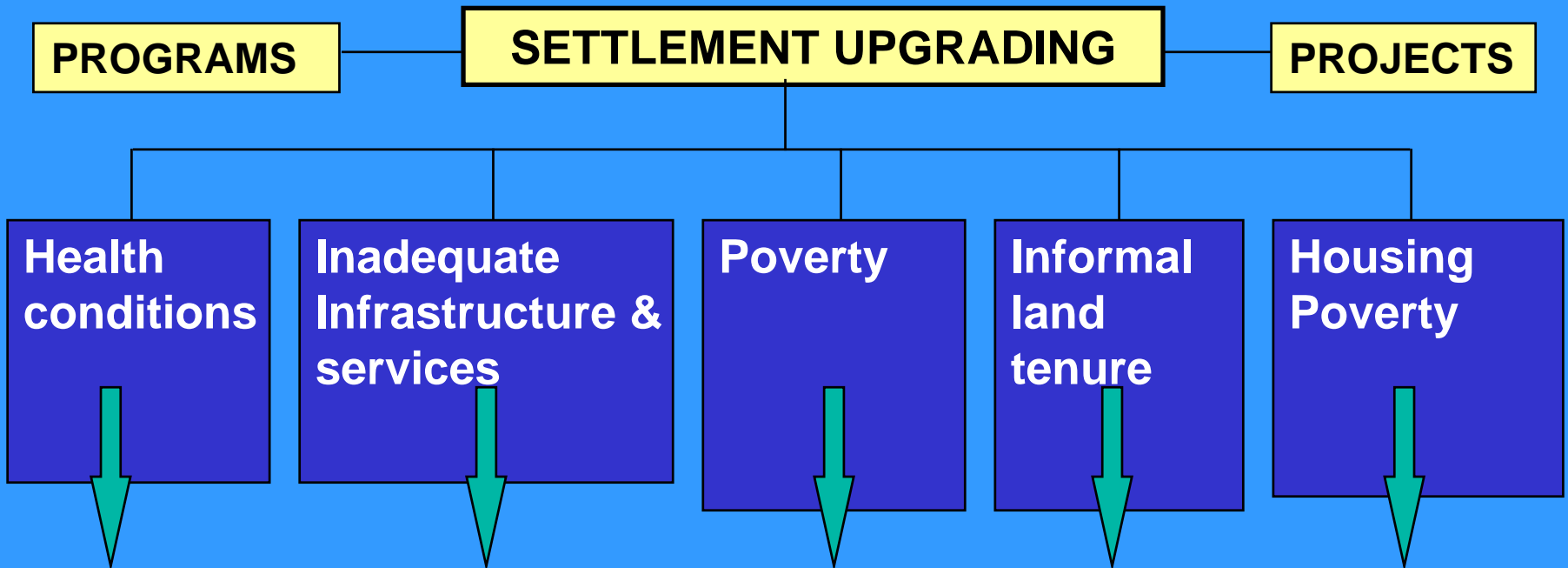
Regularisation Project and Urbanistic Formalisation

Project of Legalisation and Land Titling

Relocation Project

Project of Local economic developmt.

PRIORITIES OF PROGRAMS AND PROJECTS



FOCUS

**LEADS TO DIFFERENT KINDS OF IMPROVEMENT
WITH DIFFERENT TYPES OF ACTIONS !**

PROGRAMS

SETTLEMENT UPGRADING

PROJECTS

Health Project

Reduce epidemics

Widen public health

Labor reproduction

Infrastructure Project

Basic sanitation

BM Credit

Credit to small businesses

Support to micro enterprises

Self-help & employment

Social Project

School construction

Playgrounds and creches

Vocational programs

Employment generation

Legal Project

Tenure regulation

Norms & control building activities

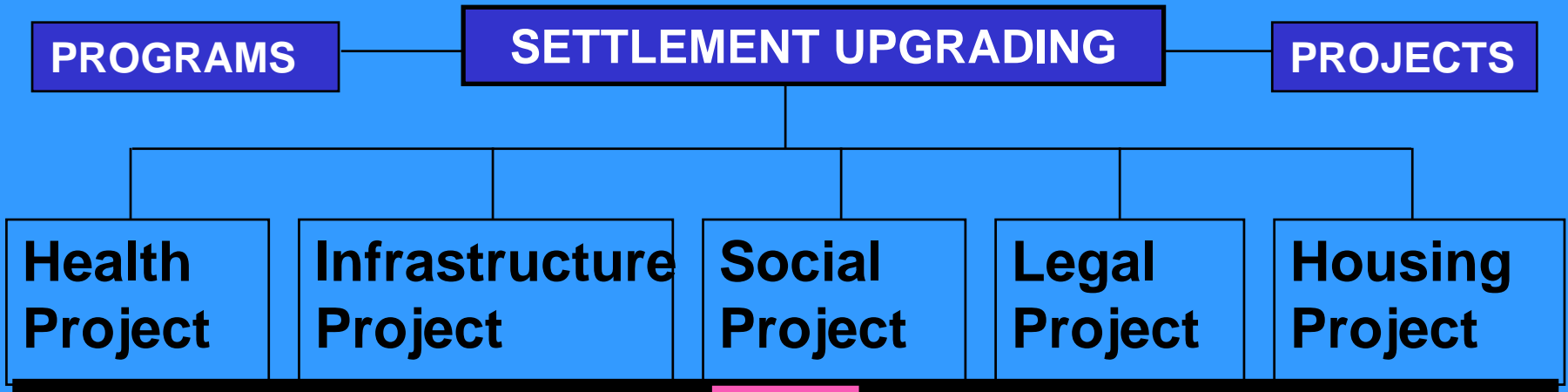
Property titling

Housing Project

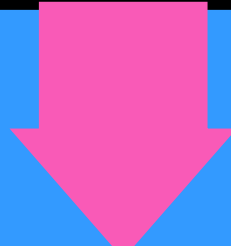
Improvement of housing stock

Credit to BM

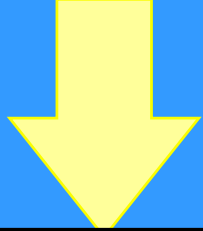
Technical Assistance



How to define the problems and objectives to be tackled?

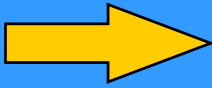


PROJECT CONCEPTION

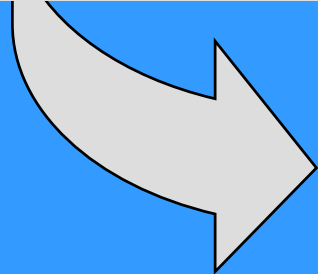
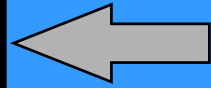


OBJECTIVES

Whose problems?



Whose objectives?



**PROJECT
CONCEPTION**

OBJECTIVES

**Decision
Making
Process**

**Priority
Setting**

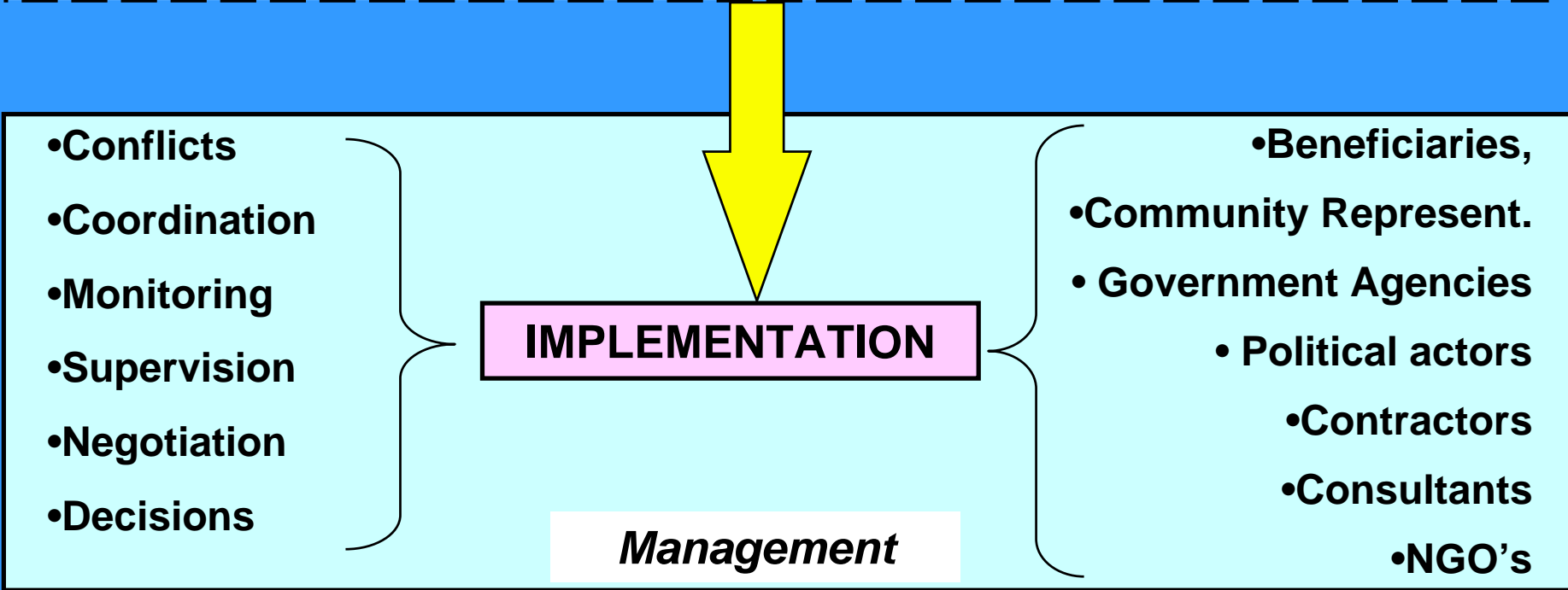
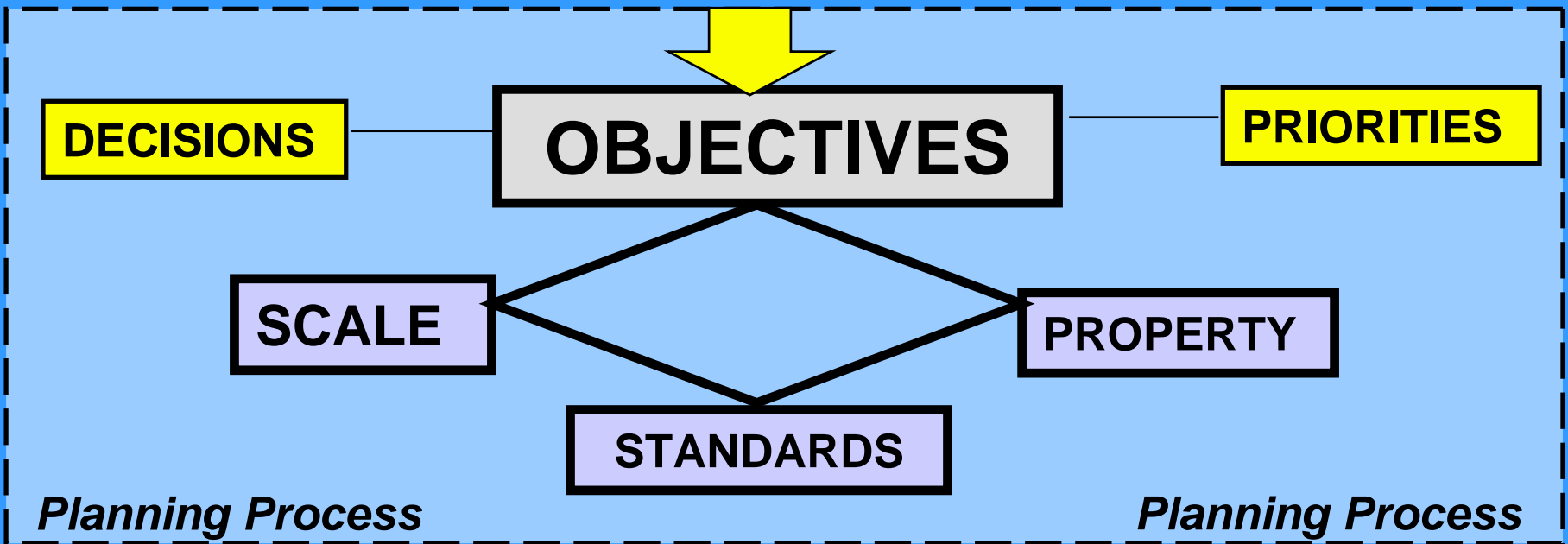
Communication

Communication

SCALE
Population,
Services,
Plots and
Sites

STANDARDS
Housing
Services
Infrastructure

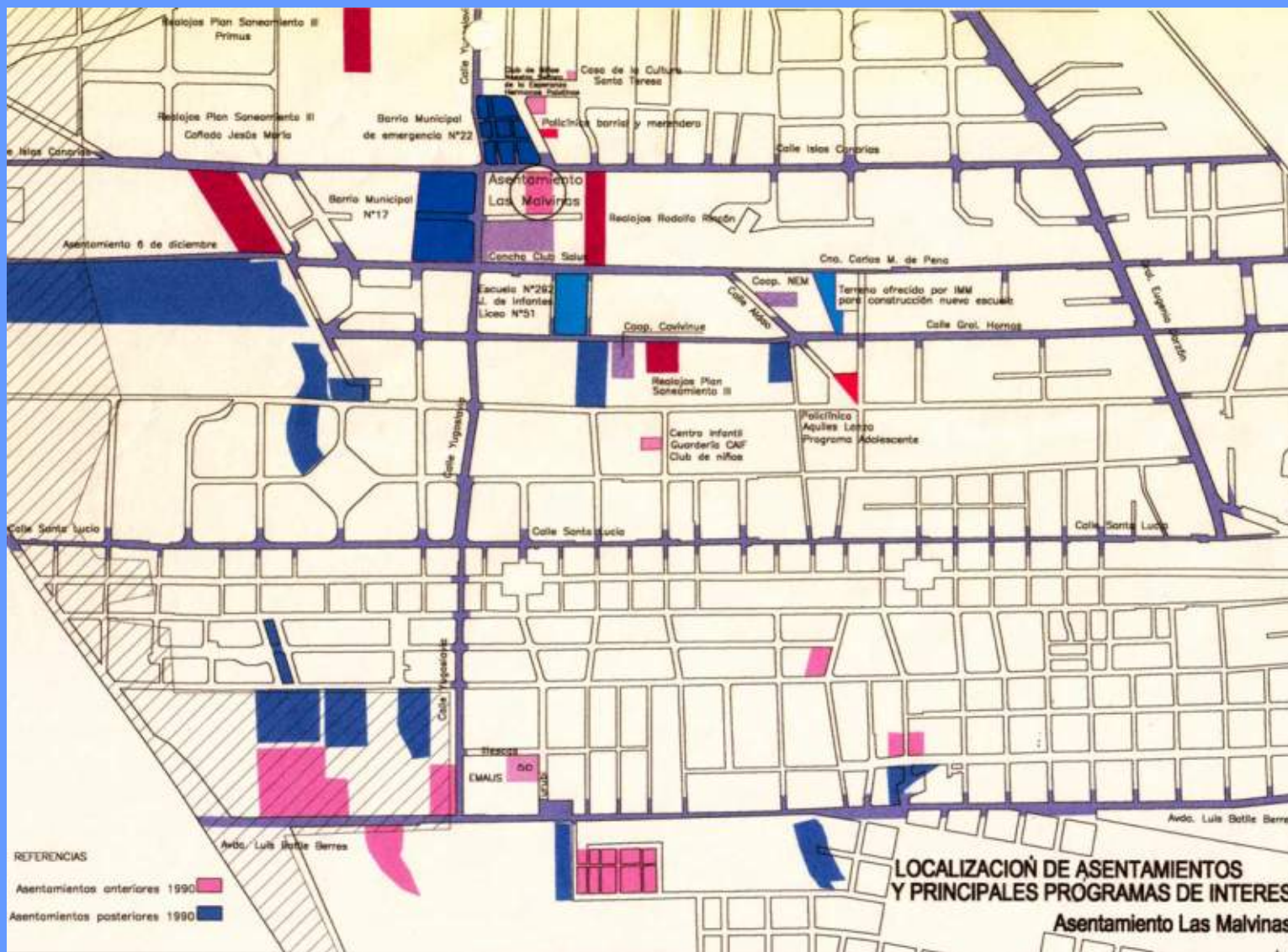
**Access to
PROPERTY**
rights and
tenure
arrangements



Settlement MALVINAS

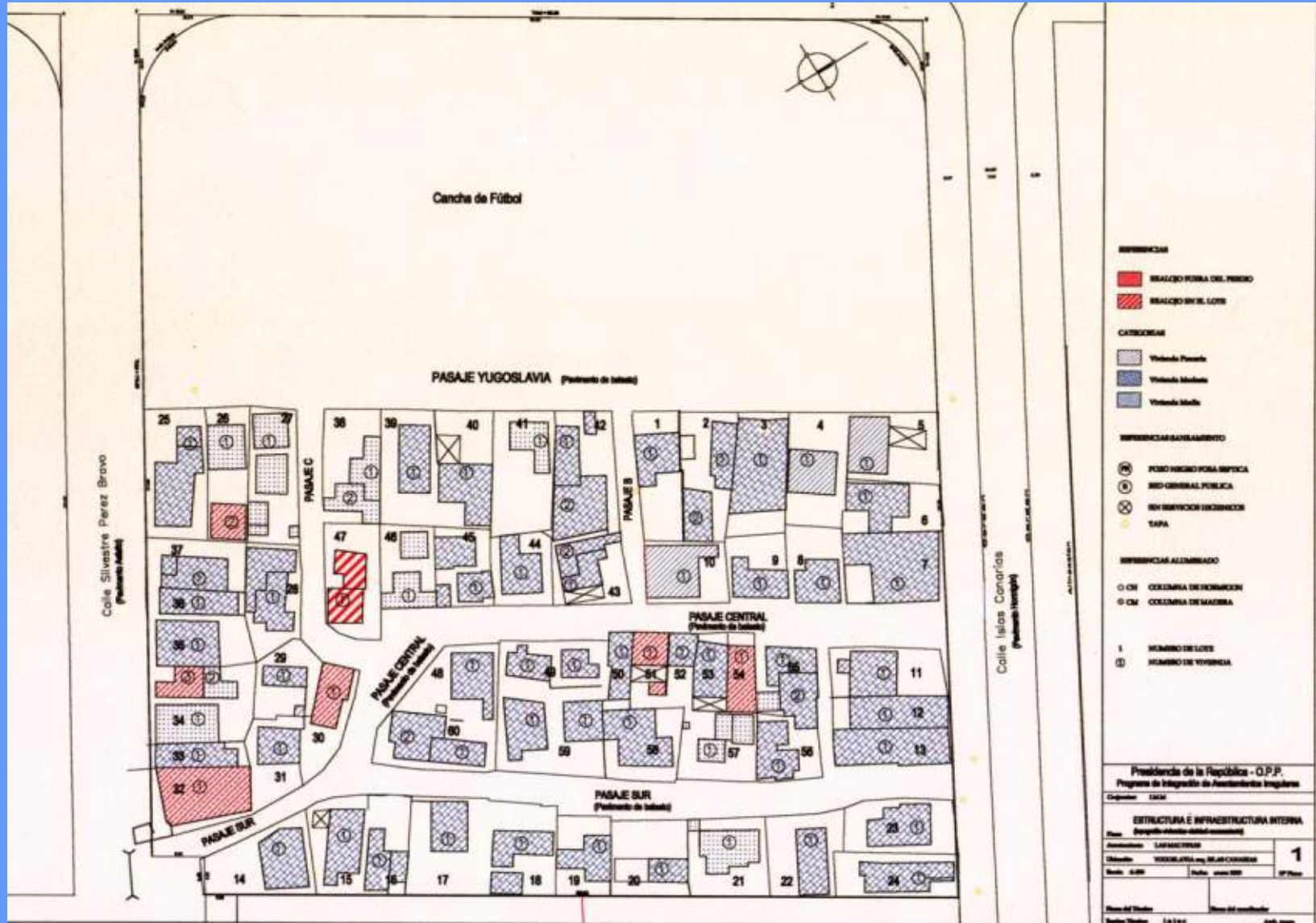
Montevideo, URUGUAY

Fuente: Adriana Bidegain, INTEC, 2002



Existing Situation

Fuente: Adriana Bidegain, INTEC, 2002



Views of Ring Roads

Fuente: Adriana Bidegain, INTEC, 2002



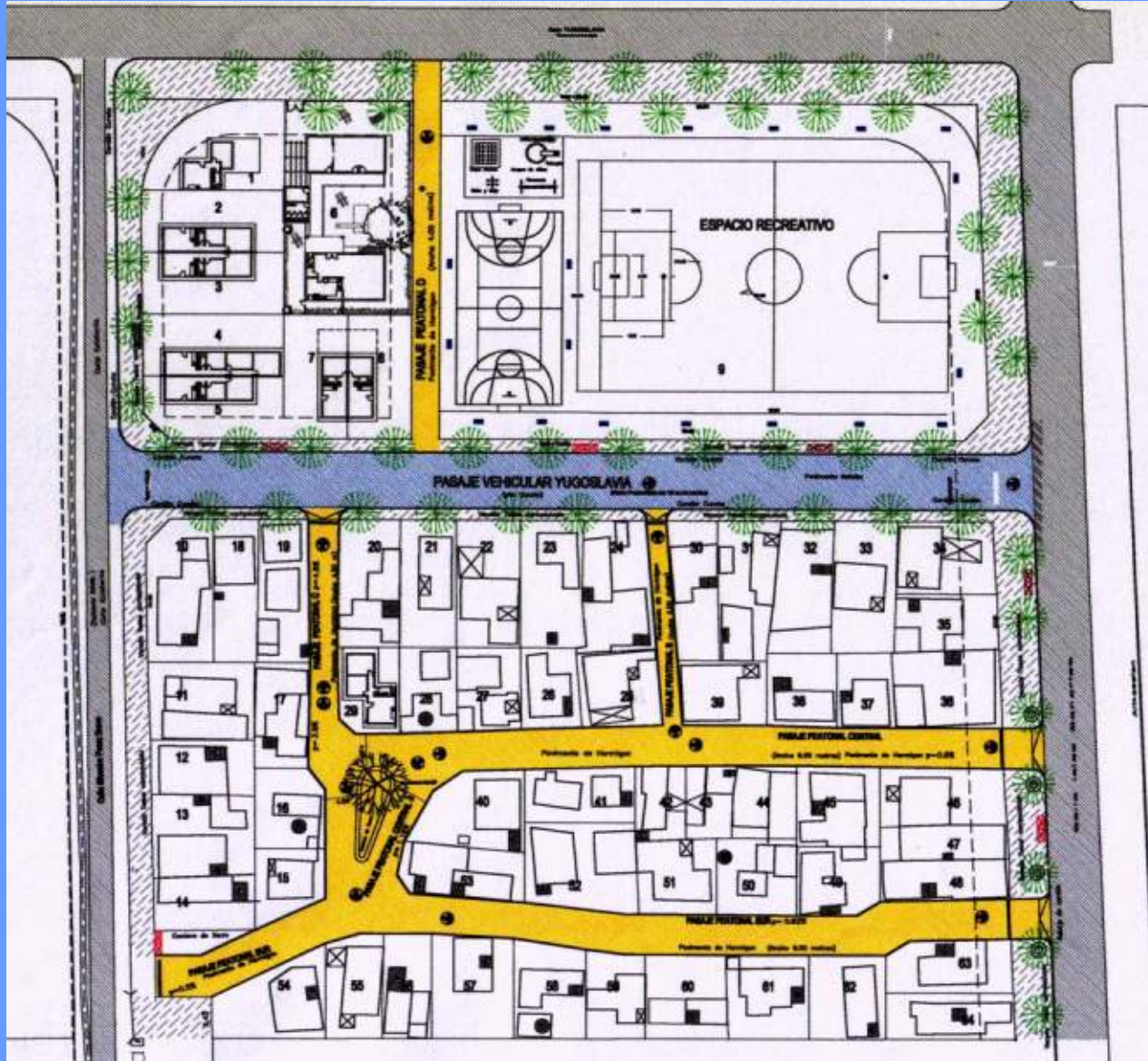
Internal Accesses and Pathways

Fuente: Adriana Bidegain, INTEC, 2002



Neighbourhood Improvement Proposal

Fuente: Adriana Bidegain, INTEC, 2002



Sanitation and Sewerage Network

Fuente: Adriana Bidegain, INTEC, 2002



The Tension Between Public and Private Domain





Fallacy of the Jurist

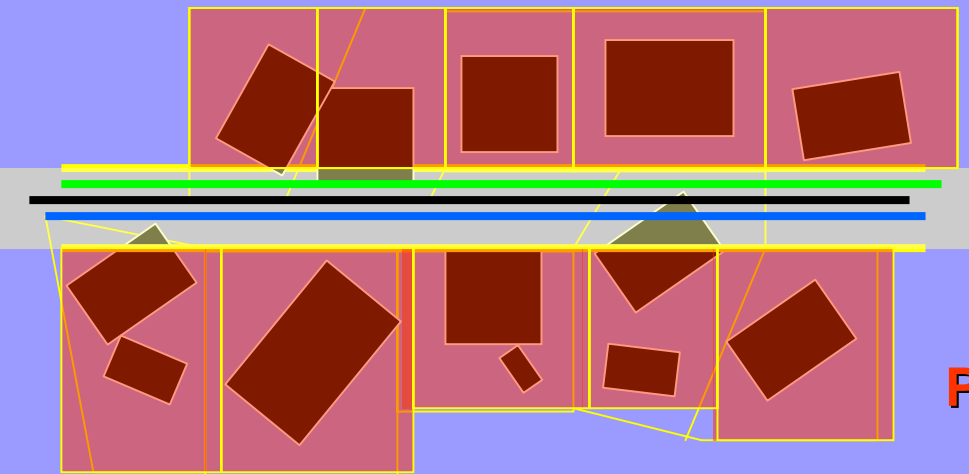
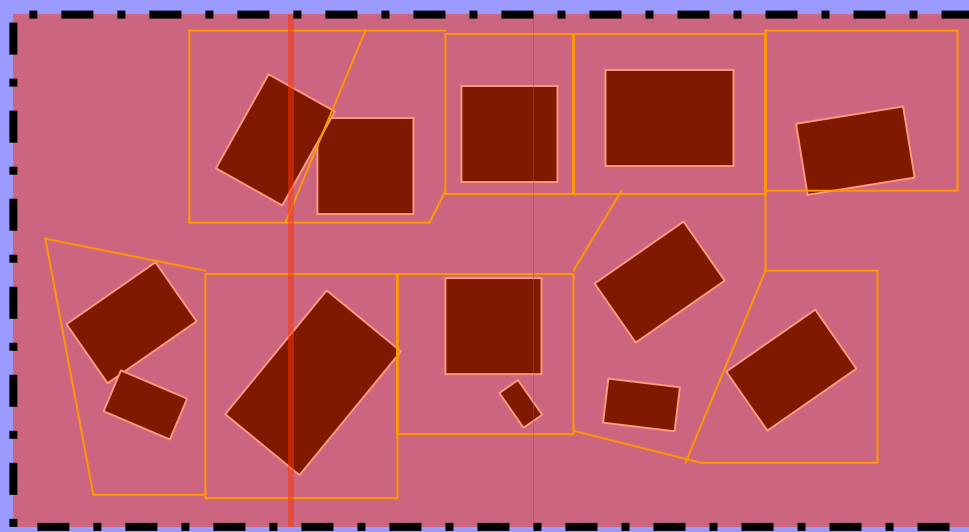
Collective Domain
(condominium principle)

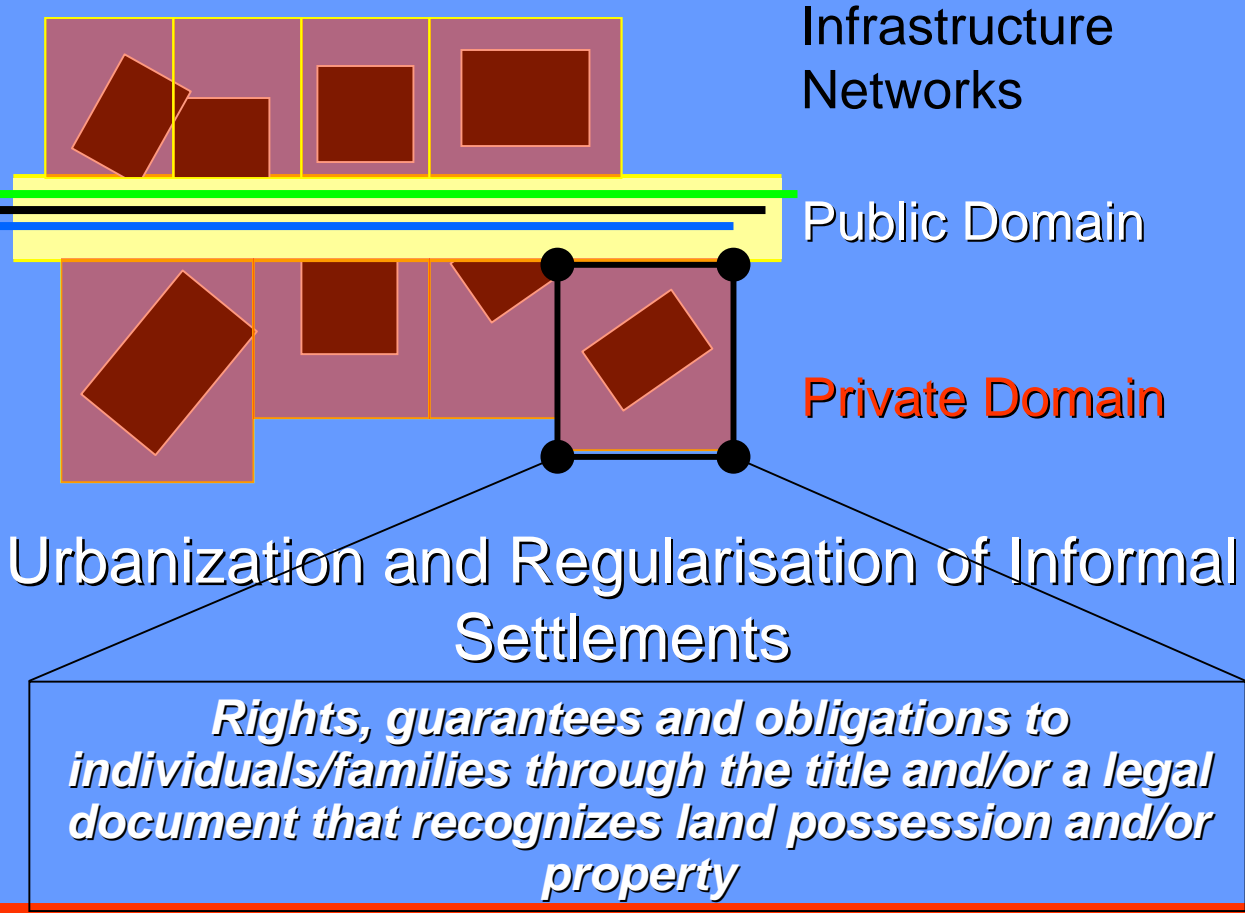
Fallacy of the Planner

Infrastructure
Networks

Public Domain

Private Domain





Infrastructure Networks

Public Domain

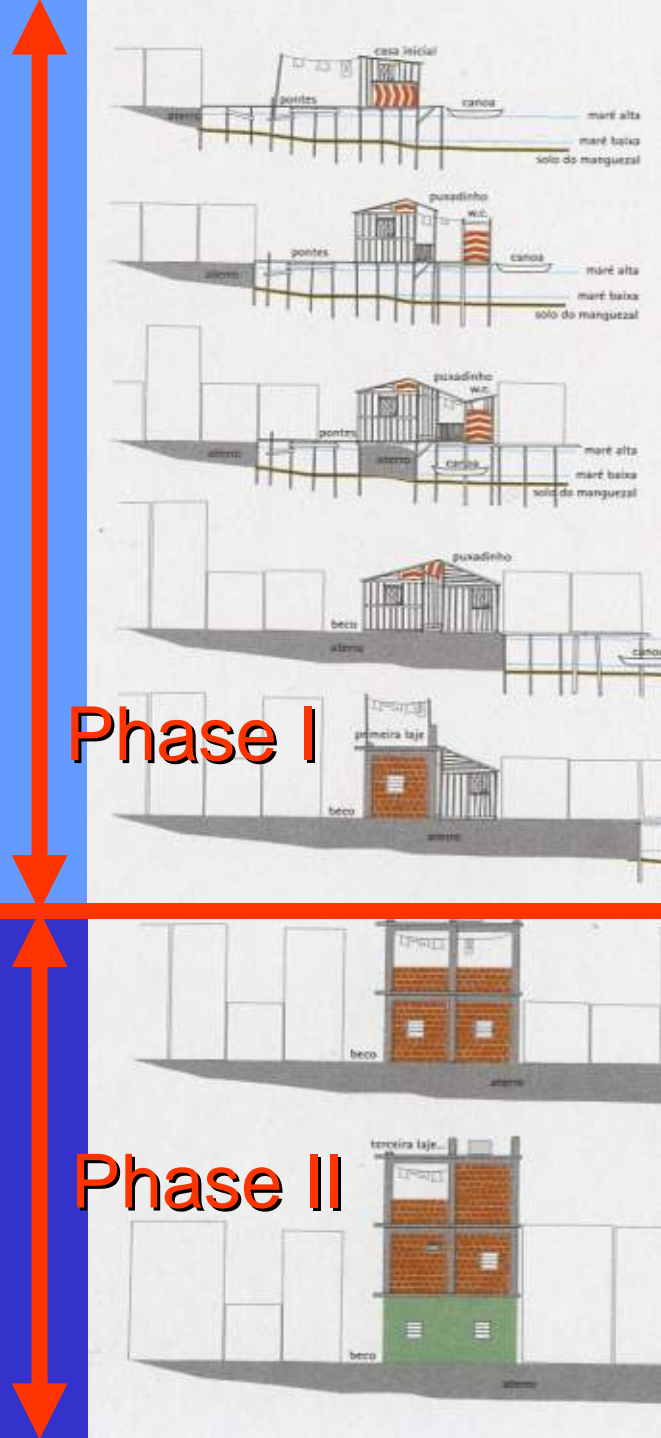
Private Domain

Urbanization and Regularisation of Informal Settlements

Rights, guarantees and obligations to individuals/families through the title and/or a legal document that recognizes land possession and/or property

Urbanistic & Building Regularisation

1. *Law Enforcement*
2. *Adjusting to current laws, norms and uses*
3. *Limits of Individual Actions*
4. *Regularization of the construction*
5. *Control Mechanisms on Urbanism*



Phase I

Phase II

Weaknesses at Project Level

1.

**Inadequate
cartographic basis**

2.

**The demand for
“finished”
projects is not
compatible with
the reality –
process-based &
adaptative vision**

3.

**Lack of planning
and participatory
project design
instruments &
skills**

4.

**Norms to approve
projects are
incompatible with
the
physical/spatial
reality of
settlements**

5.

**Technical cadre
not well-trained
for the social and
organisational
complexity of the
population
(learning by
doing)**

6.

**There is no
commitment to
the “post-
implementation”,
to strengthen
‘non-state public
management’ and
the local economy**

7.

**Lack of tools
for project
communication
and interface
with civil
society`**

Brief Conclusions 5:

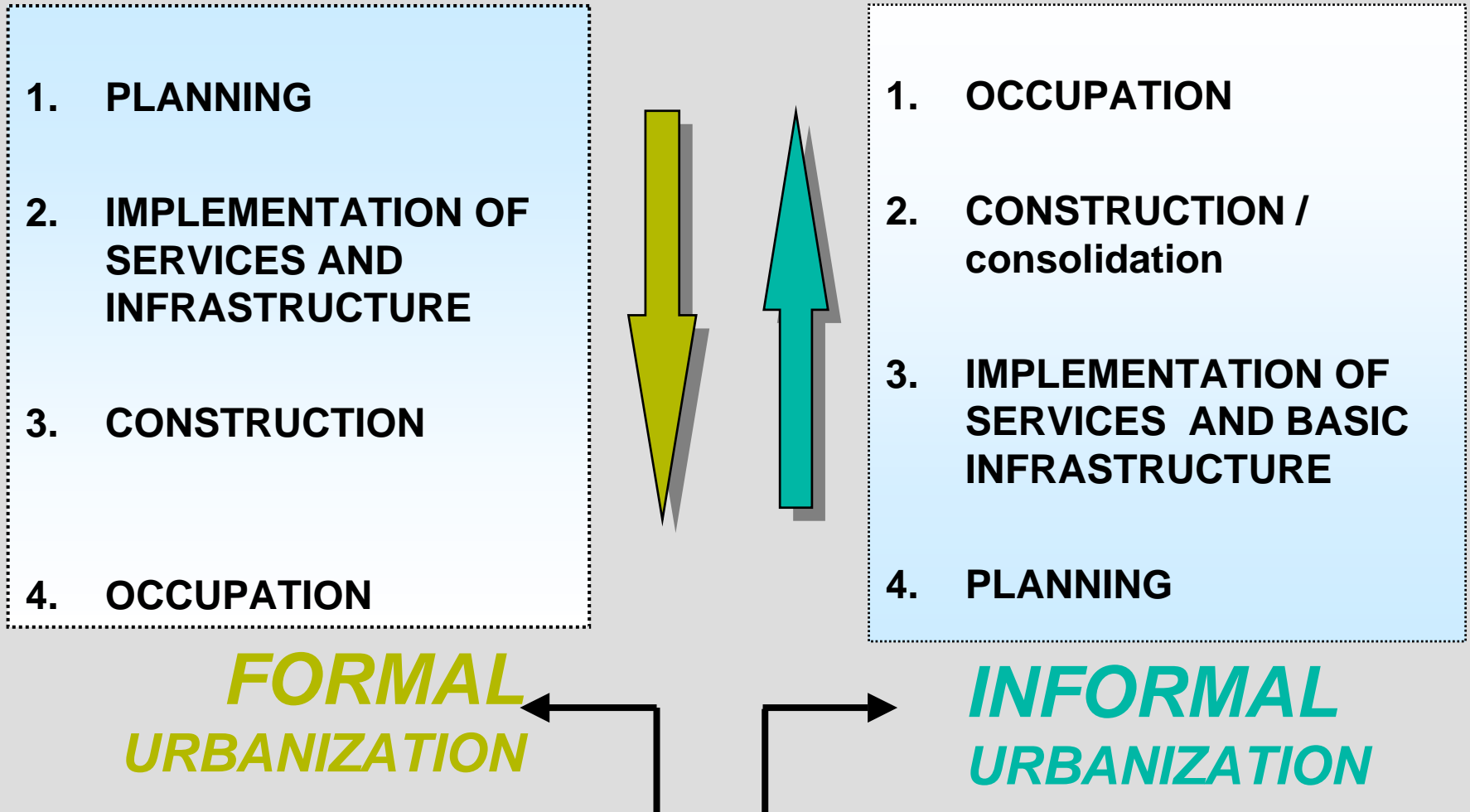
The technical &
planning
dimension



3.

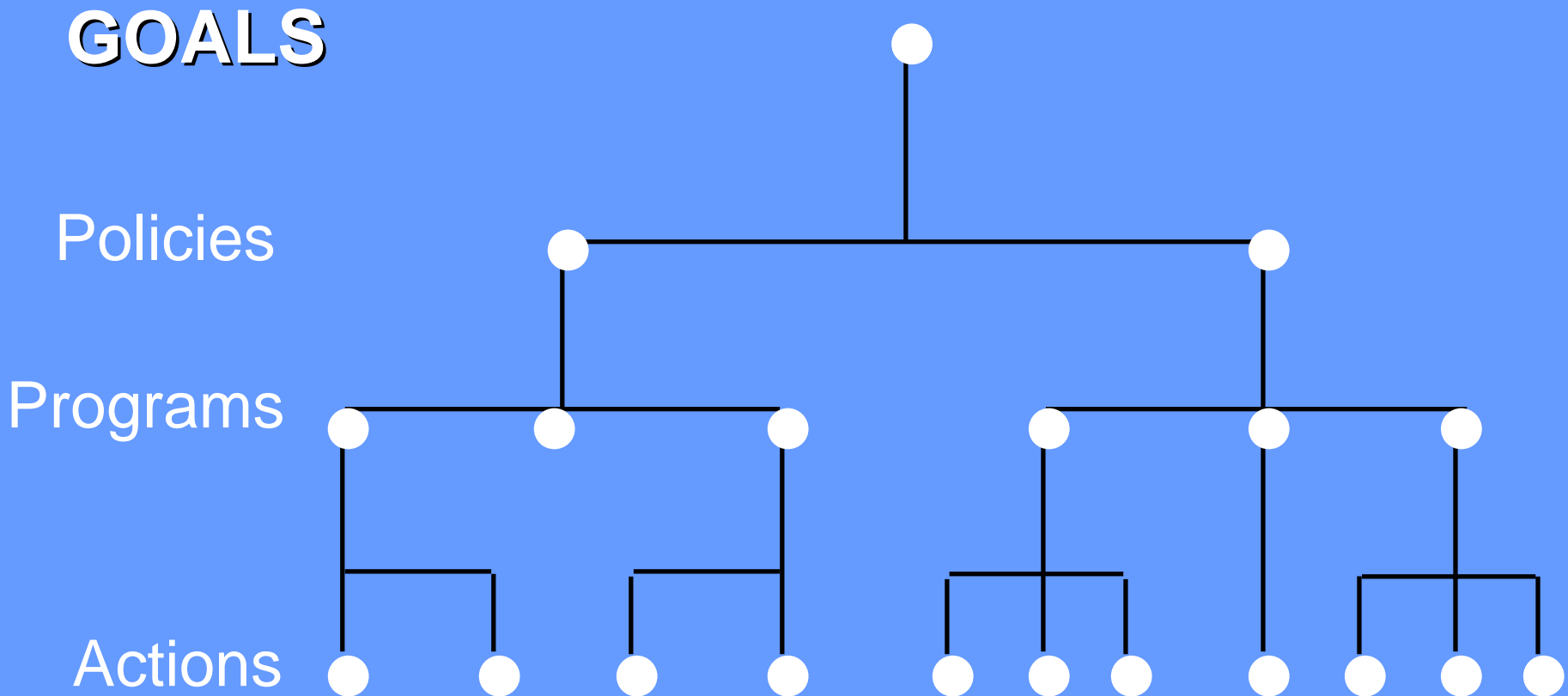
Problems & Obstacles

Different Logic Requires Different Tools



**Different Processes of Project Planning & Project Management
Methods & Techniques Appropriate to Existing Situations
Innovative Interventions**

Is our thinking influenced by the rationalism and technocratic planning that makes it difficult to pursue the necessary changes???



Some Basic Conclusions on Upgrading:

1. Must involve stakeholders from ground zero;
2. The plan is a process and therefore dynamic;
3. Investments in infrastructure requires a settlement plan defining private & public domain
4. The occupation of land prior to the existence of a plan requires a process of co-management but this conflicts with the technocratic tradition;
5. Fixed rules of planning & management put residents aside and take away their level of commitment to the post-upgrading
6. Reversing the conventional order – first legalisation then urban regularisation – may eliminate the risk of eviction but it can also make it difficult for infrastructure provision

4.

Regularization, Legalization or Urbanization. What do we do first and for which objective?

REGULARISATION

Interventions geared to recognition, legitimisation and legalisation of land tenure and land occupation

- (1) To whom does the land belong ?**
- (2) Is there a conflict or land dispute on property rights, occupation ?**
- (3) Who are the parts in conflict ?**
- (4) Is there any norm regulating the use and occupation of land ?**
- (5) What kind of information about the settlement does exist ?**
- (6) Is there any impact of any nature e.g. environment, traffic, restriction in use;**
- (7) There are many questions to ask !!!!!!**

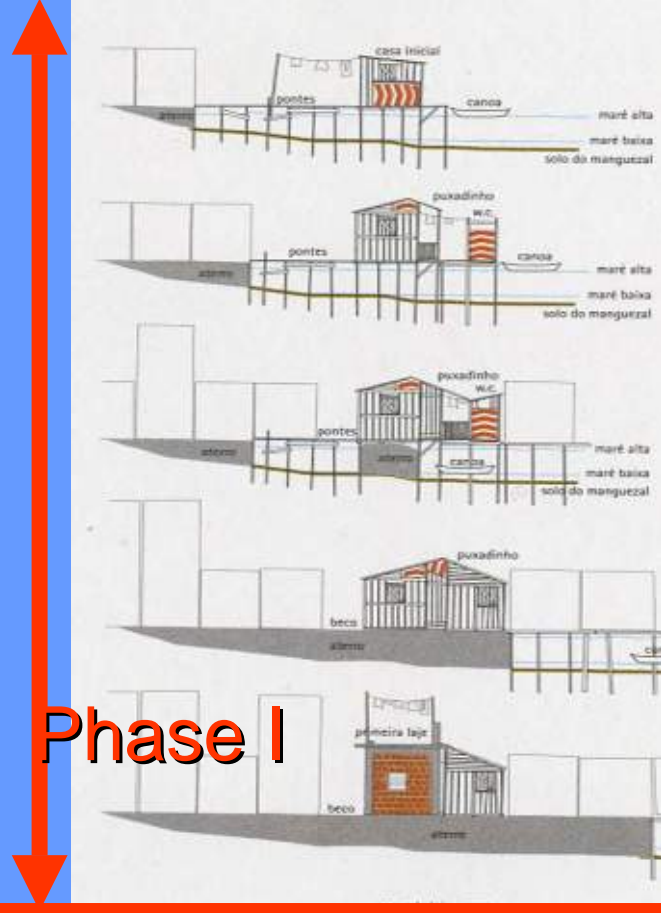
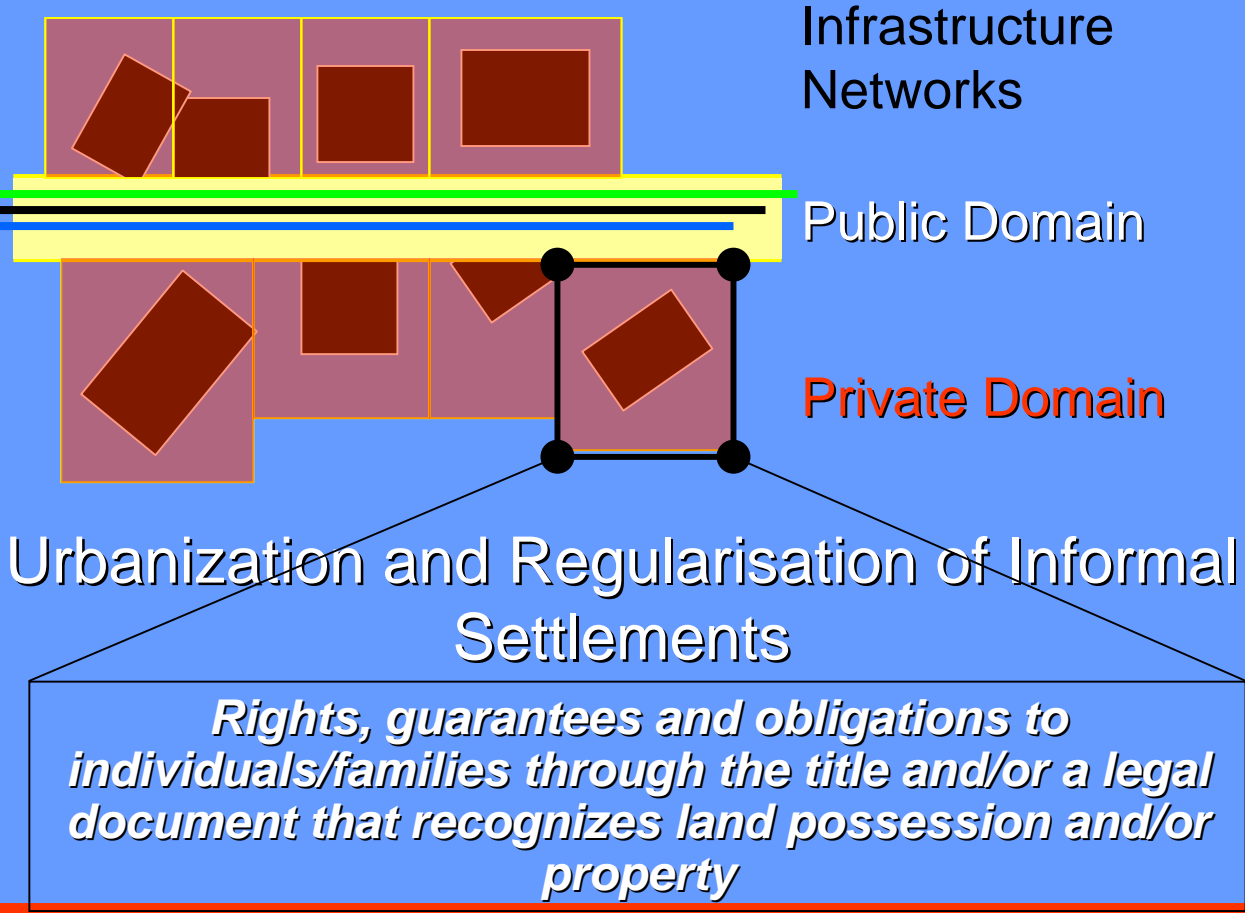
Totally Distinct Solutions, Approaches and Intervention Mechanisms

Spontaneous Occupations
Organised or Densification

X

Land Subdivisions
Guided and/or by Sell & Buy





- Urbanistic & Building Regularisation**
- 1. Law Enforcement**
 - 2. Adjusting to current laws, norms and uses**
 - 3. Limits of Individual Actions**
 - 4. Regularization of the construction**
 - 5. Control Mechanisms on Urbanism**



6.

Some conclusions. . .

Some Basic Conclusions on Upgrading:

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Basic Conclusions on Regularisation

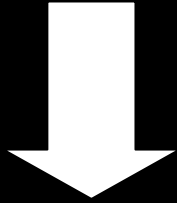
1. Governments cannot do it by itself;
2. The NGO's have a fundamental role to play as technical advisors;
3. There is a need to simplify;
4. We must break with the traditions in various levels;
5. We must empower intermediary levels of governments and local actors
6. We just strengthen the capacity of the various actors and stakeholders on the regularisation processes and new procedures

7.

**Citywide Programme
requires institutional
development and
management capacities.**

Remedial Policies

1. Planning TO ENABLE development
2. Strategies to improve existing situation
3. Approaches to improve quality of life



Preventive Policies

1. Planning BEFORE development
2. Enabling housing strategies
3. Approaches to access housing inputs
4. Resolving the land question
5. Linking housing and income

NOT
Planning for
Development

BUT

Formalisation
of
Development

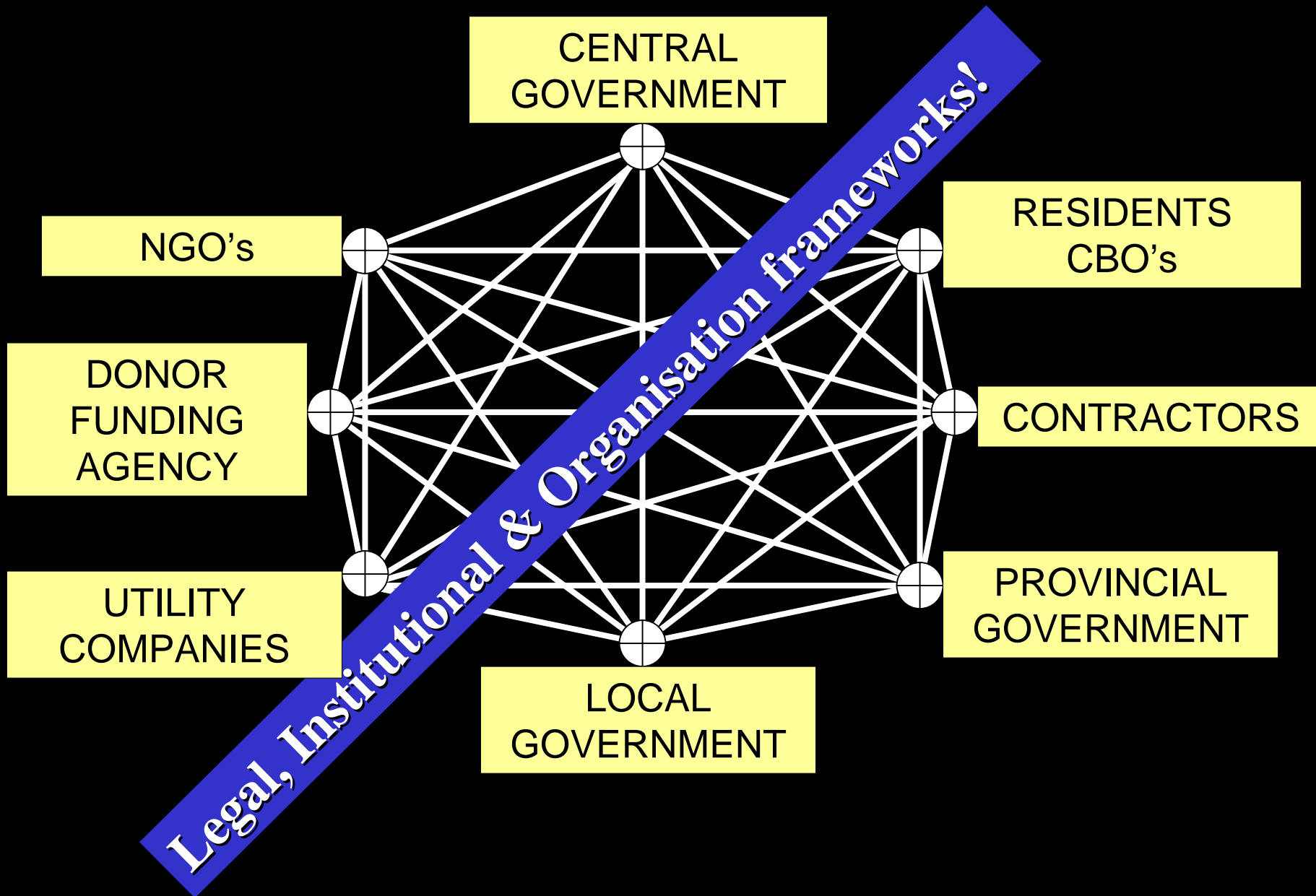
Bulk of Experiences with Slum Upgrading Projects and Citywide Programmes

- 1. Lusaka Upgrading and Sites & Services Programme**
- 2. KIP-Kampung Improvement Programme**
- 3. PRIMED-Integrated Programme for the Improvement of Deteriorated Neighbourhoods in Medellin**
- 4. Favela Bairro Programme in Rio de Janeiro**
- 5. Social Inclusion Programme of Santo Andre**
- 6. Slum Improvement Programme of Ahmedabad**
- 7. Slum Networking in Mumbai**
- 8. APUSP-Andhra Pradesh Urban Services for the Poor Project**
- 9. PMBB-Neighbourhood Improvement Programme of Bissau**
- 10. Colombo Slum Upgrading Programme**

Citywide Programmes demand critical measures:

- 1. Establish institutional and organisational framework**
- 2. Define legal framework**
- 3. Management and Implementation Capacities**
- 4. Define flow of funds and sources of funding**
- 5. Determine who is involved and how**
- 6. Establish contractual procedures**
- 7. Clarify how residents/beneficiaries can participate**
- 8. Organise communication strategy**

Lessons learned from 4 decades of Upgrading:



8.

**The financial and
economic dimension of
SU programmes**

Table 1**Investment required to upgrade slums and provide alternatives to slums by 2020**

Intervention	Target population (millions)	Average cost per person (\$)	Total (\$ billions)	Source of investment (\$ billions)		
				Donors	Governments	Slum dwellers and future low-income urban residents
Upgrading slums	100	670	67	23	37	7
Providing alternatives to slums	570	400	227	78	126	22
Total	670	440	294	101	163	29

Note: Numbers in table may not sum to totals due to rounding.

Source: Task force estimates calculated based on data from UN-HABITAT 2003a; Flood 2004; World Bank 2003a; FISE 2004.

Table 8.3**Estimated per capita and total investment required to upgrade slums, by region, 2005–20***U.S. dollars per capita**Note:* Numbers in table may not sum to totals due to rounding.

a. Calculated as 30 percent of the value of networked infrastructure.

b. Calculated as 10 percent of the overall costs of the rest of components.

Source: Flood 2004; World Bank 2003a; FISE 2004.

Component	Arab states, Turkey, and Iran	East Asia (including China) and Oceania	Latin America and the Caribbean	South Central Asia	Southeast Asia	Sub-Saharan Africa, Egypt, and Sudan
Construction of basic housing	472	338	488	306	324	125
Purchase of land or transfer	80	38	7	32	34	14
Relocation	55	20	27	11	15	14
Provision of networked infrastructure	235	51	235	51	51	145
Provision of bulk infrastructure ^a	71	15	71	15	15	44
Construction of schools and clinics	12	10	18	10	10	12
Construction of community facilities	15	10	15	10	10	10
Planning and oversight	268	81	230	121	126	117
Capacity building ^b	121	56	109	56	58	48
Total cost per person	1,328	619	1,200	612	643	528
Number of people (millions)	4	20	8	30	7	31
Total cost (\$ billions)	5.3	12.4	9.6	18.3	4.5	16.4

Costs of Infrastructure for Land Tracts Possible to be Urbanized

Water	10.64%
Sewerage	19.86%
Drainage	9.99%
Electricity & Publ Lighting	12.44%

Source: Analise de Habitacao Informal e Avaliacao de Programas de Urbanizacao de Favelas, MV Serra & D. Motta, World Bank, 2005.

Average Costs of Infrastructure for Normal and Complex Favelas

	<u>Normal</u>	<u>Complex</u>
Water	5.73%	7.53%
Sewerage	23.07%	18.00%
Drainage	26.69%	30.00%
Pavement	18.67%	18.72%
Landslide Protection	8.87%	25.62%
Relocation & Reconstruction	16.98%	(6-10% of families)

Source: Analise de Habitacao Informal e Avaliacao de Programas de Urbanizacao de Favelas, MV Serra & D. Motta, World Bank, 2005.

Average Costs: Slum Upgrading

	<u>ALL</u>	<u>Infrastructure</u>
Public Works	84.84%	7.53%
Infrastructure	55.71	100.00%
Pavement	14.635	4.62%
Water	2.93%	4.62%
Sewerage	13.02%	23.64%
Drainage	17.06%	32.61%
Creek Canalization	1.65%	0.927%
Risk Area Control	5.65%	8.30%
Relocation & Reconstruction	(6-10% of families)	
Landscape Improvement	075%	1.04%
Superstructure	13.59%	
Preliminary services	15.54%	
Engineering & Architecture Design	3.62%	
Project Management	11.54	

COSTS TO UPGRADE FAVELAS

Funds Necessary to Upgrade Favelas

	Population of the Favelas	Number of Families in Favela	Costs per Family	Total Investment
Belém	359.785	85.663	7.085,23	606.942.732,27
Belo Horizonte	723.323	172.220	1.145,87	197.341.458,57
Goiânia	158.962	37.848	10.997,79	416.245.403,33
Porto Alegre	287.161	68.372	4.997,78	341.706.548,23
Recife	781.426	186.054	5.957,23	1.108.365.335,71
Rio de Janeiro	1.092.783	260.186	7.147,65	1.859.721.526,18
Salvador	875.033	208.341	6.148,00	1.280.881.639,05
Santo André	120.500	28.690	8.713,29	249.988.439,29
Teresina	133.857	31.871	1.925,25	61.359.092,68
Vitória	86.462	20.586	5.454,16	112.280.376,65
Totales	4.619.292	1.099.831	-	6.234.832.551,96

COSTS TO UPGRADE FAVELAS

Existing Financial Resources

	total investment	Resources Mobilised	%
Belém	606.942.732,27	21.170.000,000	3,49
Belo Horizonte	197.341.458,57	58.087.000,000	29,43
Goiânia	416.245.403,33	30.179.000,000	7,25
Porto Alegre	341.706.548,23	18.940.000,000	5,54
Recife	1.108.365.335,71	8.200.000,000	0,74
Rio de Janeiro	1.859.721.526,18	926.000.000,000	49,79
Salvador	1.280.881.639,05	61.480.000,000	4,80
Santo André	249.988.439,29	22.949.000,000	9,18
Teresina	61.359.092,68	40.828.000,000	66,54
Vitória	112.280.376,65	78.600.000,000	70,00
Total	6.234.832.551,96	1.266.433.000,000	20,31

Source of Funding: Upgrading costs

Financial Resources:

	R\$	%
Municipalidades	492.656.000,00	38,90
Gobierno Federal	148.854.000,00	11,75
Emprestimos Internacionales	593.100.000,00	46,83
Donaciones	15.341.000,00	1,21
Otros	16.482.000,00	1,30
Total	1.266.433.000,00	100,00

Financial Resources Excluding Favela-Bairro Programme (Rio):

Municipalidades	136.656.000,00	41,29
Gobierno Federal	148.854.000,00	44,98
Emprestimos Internacionales	13620000,000	4,12
Donaciones	15.341.000,00	4,64
Otros	16.482.000,00	4,98
total	330.953.000,00	100,00

Fuente: A. Larangeira, IHS, 2005.

UPGRADING COSTS

PERIOD OF FINANCING

